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技术合作计划

TECHNICAL COOPERATION
PROGRAMME

PROGRAMME DE
COOPÉRATION TECHNIQUE

PROGRAMA DE
COOPERACIÓN TÉCNICA

برنامج التعاون الفني

Region: Viet Nam

Project title: Community-based forest harvesting for poverty reduction in Viet Nam

Project number: TCP/VIE/3402

Starting date: April 2012

Completion date: March 2014

Government Ministry responsible for project execution: n/a

FAO contribution: USD256,000

Signed:
(on behalf of Government)

Signed:

Jose Graziano Da Silva

Director-General
(on behalf of FAO)

Date of signature:

Date of signature:

1. BACKGROUND

1.1 General Context

At present, the land designated to forestry in Viet Nam accounts for approximately 14.7 million ha and there are plans to expand this to 16.2 million ha by 2020. Vast areas of forested land are found in the Northern midlands and mountains, and the North-central and Central Highlands. Strong pressure from farmers and a long period of war caused severe deforestation and forest degradation, particularly in the Northern, Central and Central Highland regions. In Viet Nam, more than 70% of the population lives in rural areas, and the number of people who live inside or in the vicinity of forests is estimated at 25 million.

The livelihood of these people continues to remain heavily dependent on forests and with population pressures, encroachment on forest lands for cropping or collection of Non Wood Forest Products (NWFPs) is increasingly being viewed as a concern. Poverty and famine prevailing in extensive forestry-designated areas has been identified by the government as a major cause of deforestation and environmental deterioration. Although several hunger-eradication and poverty-reduction programs have been actively undertaken over the past few decades, with some degree of success in tackling famine and poverty, the rate of poverty remains relatively high, particularly among ethnic minorities and rural inhabitants.

In Viet Nam, like other regional countries, forestry operations have tended to be dominated by large-scale commercial interests, and the benefits from timber extraction have, as in other places, tended to be captured by the rich. New trends with respect to markets, technologies and institutions, as highlighted in the 2006 Ho Chi Minh City conference on *Managing forests for poverty reduction: capturing opportunities for the benefits of the poor*, provide increasing opportunities for employment and income generation in rural areas. However, the potential of forest harvesting for deliberate poverty reduction remain a relatively recent source of interest and as of yet is little developed. The policy and regulatory frameworks at present do not tend to support small-scale producers and labor-intensive harvesting practices, but instead often discriminate against them.

The 2006 Ho Chi Minh City conference, later followed by a 2007 conference on *Forests and Poverty Reduction* organized by RECOFTC and FAO, was successful in bringing to light a range of experiences and opportunities throughout the region in small-scale, labor-intensive forest management practices and wood processing. With regional and global interest in the possibilities for addressing the problem of poverty via forestry ignited, it is timely to move forward the ideas and enthusiasm emerging from these conferences and other related developments.

Furthermore, forests play an important role in combating climate change. Deforestation and degradation is still occurring in Viet Nam, which are attributed to unsuitable and therefore unsustainable practices of forest harvesting. Low impact sustainable practices of forest harvesting, particularly with active of community engagement is considered one of the solutions to sustainable forest utilization and to minimize forest disturbances.

1.2 Sectoral Context

Currently, Viet Nam is undergoing major economic and social development, following the adoption of *doi moi* (economic renovation) policies. The country's overall development objectives are guided by the national socio-economic development plan.

The 5 Million Hectare Reforestation Programme (5MHRP), carried out over a 12-year period from 1998-2010, addresses protection of existing forests as well as reforestation for environmental purposes, bio-diversity conservation and production of raw materials for forest industries. The 5MHRP is expected to generate considerable employment, improve forest-based production, increase income levels for ethnic minority groups and contribute to improved livelihoods. The program is also contributing to the overall national goals of hunger elimination and poverty alleviation. To maximize the effectiveness of such a massive and diverse undertaking, however, it is necessary to strengthen the enabling policy, legal, regulatory and institutional frameworks underpinning the program.

Work has been ongoing in Viet Nam to update the overall national program, policies, laws, and strategies for the forest sector. A revised Law on Forest Protection and Development (No.29/2004/QH11) was approved by the National Assembly in late 2004. Considerable work is subsequently needed to update the supporting decrees and regulations. A National Forest Strategy (2006-2020) has been developed to replace the existing National Forest Development Strategy (NFDS, 2001-2010) and the Forest Sector Support Program Framework. On 7 July 2005, the Government of Viet Nam promulgated Decision 40 (40/2005/QD-BNN-LN) that (among others) stresses the role of communities in sustainable forest harvesting. Decision 40 addressed three main issues; firstly, procedures on harvesting for all forest owners who are involved harvesting activities; secondly, regulations and design guidelines for natural forest harvesting; and lastly, regulations and guidelines for forest management planning for both community (including households) and other forest owners. However, after five years of enforcement, Decision 40 was not considered to be responding to the emerging realities, and a number of regulations have been enacted to replace this Decision.

Viet Nam is also actively engaged in preparing itself for implementation of Reduced Emissions from Deforestation and forest Degradation Plus (REDD+). Along with the preparation of an implementation framework being undertaken by members of the National REDD Network¹, localized intervention strategies will need to be identified for the various management arrangements, to avoid deforestation and forest degradation.

For each of these on-going processes, efforts are needed to better link the work related to development and revision of forest strategy, policy, law and programs with macro national strategies, especially in matters of how forestry can contribute to economic development, poverty reduction and the promotion of rural livelihoods. These issues require applied research and analyses as well as work on policies and strategies at national, provincial, district and commune levels. Key efforts are needed to improve land-use planning and forest land allocation, and to enhance extension and technical support to better enable rural households and communities to participate in, and benefit from, sustainable forest management.

Decision 40

The 2005 Decision 40 (now obsolete) provided the basis for community-based forest management and harvesting. Decision 40 outlined a comprehensive range of regulations that legislate the role of communities in areas including: forest management planning, harvest design, salvage harvesting and collection of non-wood forest products in both natural forests and plantations that belong to either production or protection forests. In effect, the Government recognizes organizations, family households and individuals as the owners, managers and beneficiaries of forest land allocated by the State. They are authorized to undertake activities encompassing reforestation, environmental protection, forest management

¹ The National REDD Network was established in 2009 with the objective of coordinating REDD+ activities taking place in the country through government as well as develop partner/private sector initiatives.

and business production including the harvesting of timber and non-timber forest products. The rights and responsibilities of forestry agencies, organizations, households and individuals are articulated within Decision 40 and underpin all government-community interactions involving forests. However, further guidance and regulatory instruments proved necessary to implement the concepts proposed in Decision 40, and a number of new instruments have since been enacted, which replace Decision 40.

- Circular No 87 (31 December 2009, MARD) regulates technical aspects of natural forest harvesting design (including harvesting intensity, minimum diameter, exploitable species).
- Guideline No 2577 (August 2010, MARD) on natural forest management planning.
- Circular No 35/2011/TT-BNNPTNT (20 May 2011, MARD) defines the administrative procedures for timber harvesting in production and protection forests.

Currently, the above two new Circulars and one Guideline are in effect, replacing Decision 40 entirely. However, there are gaps even with the three new regulatory instruments, namely, in the technical guidelines for natural forest management planning for community managed forests (including households) and small scale forests. Further guidance on this aspect should be useful for community and small-scale initiatives, contributing to poverty reduction.

For transportation and processing of forest products after logging, Decision 59 (issued in 2006 by MARD), remains applicable. This Decision encourages creation of good conditions for all forest owners in processing forest products. The FLEGT working group is proposing a new Circular which will address also timber legality issues, to replace Decision 59.

Relevant prior or ongoing FAO assistance

The FAO executed *Enhancing Sustainable Forest Harvesting in Asia Project* (GCP/RAS/192/JPN) completed in 2008, supported activities directed at improving forest harvesting in three countries of the Asia-Pacific region, namely Lao P.D.R., Myanmar and Viet Nam. It built upon the *Code of Practice for Forest Harvesting in Asia-Pacific* and national codes that have been prepared in the three project countries. It made use of local technologies and experiences related to reduced impact logging (RIL) and embarked upon forest harvesting trainings. Key emphasis was on the improved management and sustainable utilisation of natural forests and plantations for the benefit of local people and national development.

During recent years, a series of events with the engagement of FAO and RECOFTC have been successful in highlighting pro-poor forest management opportunities, including the 2006 conference on *Managing Forests for Poverty Reduction: Capturing opportunities for the benefit of the poor*, the 2007 conference on *Forests and Poverty Reduction*, and the *Regional Forum on Carbon Financing and Community Forestry* in 2009. The events brought together diverse stakeholders and international experts to share experiences related to small-scale forest operations, labor-intensive forest management practices, wood processing and potentials of the carbon market.

Other related FAO involvement includes collaboration on: the Italian-supported project *Development of Market-Oriented Agroforestry in Quang Nam Province* (GCP/VIE/035/ITA), the Dutch-supported project *Promoting Sustainable Forest Management, Rural and National Economic Development and Poverty Reduction in Vietnam* (FNPP/GLO/003/NET) and the *UN-REDD Programme in Viet Nam* (UNJP/VIE/044/UNJ).

2. RATIONALE

2.1 Problems/ Issues to be addressed

The problems/issues to be addressed by the project include the following:

- *Poverty concentration in rural/ forested areas;*
- *Lack of national consensus on how best to achieve sustainable forest management for poverty reduction;*
- *Need for improving market chain processes to benefit small-scale forest enterprises;*
- *Inadequate documentation of innovative and successful experiences in Viet Nam with view toward scaling up best practices;*
- *Need for identifying sustainable methods (i.e. reduced impact logging) in order to reduce forest degradation under REDD; and*
- *Limitations of Circular 35 to provide technical guidelines for the role of communities in forest harvesting and guidelines for natural forest management planning.*

As mentioned earlier, Viet Nam is committed to promoting sustainable development programs and activities. Particularly related to sustainable forest harvesting, this commitment has been reflected in the process of developing the *Code of Practice for Forest Harvesting in Asia-Pacific* and by the development of RIL guidelines. The public and private sectors in the region have responded positively to the regional Code, which has garnered increasing political support since its formulation. The FAO executed project GCP/RAS/192/JPN has similarly supported the design of national codes of harvesting practice.

There is broad consensus, however, that much more must be done to improve timber harvesting in order to achieve wide-scale sustainable forest management, reduction of poverty at the community level and disseminate best practices. In Viet Nam, forest plantations are expanding rapidly and will be an important source of timber in the near future. It is considered that the potential to support successful sustainable forest management for poverty reduction through participatory project interventions is high. There is a strong commitment to improve forest harvesting in natural and planted forests in Viet Nam.

By documenting model sites and facilitating their replication in other parts of Viet Nam, significant momentum would be given to the ongoing initiatives towards community-based natural resource management there. Several current sites that offer unique successes in community-based forest harvesting in Viet Nam include Gia Lai and Phu Tho villages. These are considered innovative in their use of animal-powered skidding in natural forests and plantations. Furthermore, furniture makers in Kanak Town, near Gia Lai, have established mutually beneficial linkages with the village-based producers. Activities at these sites could help "catalyze new approaches" in terms of institutional arrangements. TCP support would play a direct role in supporting a proposal for technical guidelines on community-based forest harvesting, and further raising awareness.

2.2 Stakeholders and target beneficiaries

Rural communities will be the primary beneficiaries of this project. Income and employment are expected to be enhanced and generated for small-scale forest users/ producers in model sites and where scaling up occurs. The development, refinement and transfer of community-

friendly technologies and methods (such as animal skidding) all strengthen the potential of forestry to enhance the role of communities in participatory forest management, therefore benefitting rural communities. In addition, small-scale forestry enterprises are expected to benefit from the broader awareness and implementation of progressive legislation (such as Circular 35).

Policy makers and officials at all levels will benefit from closer evaluation of recent legislation and efforts to incorporate poverty reduction with improved forestry practices, hopefully allowing the results of this project to lead to improved policy design. The private sector will be stimulated by increased activity at various levels to include small-scale entrepreneurs within the forest product market chain. More broadly, it is hoped that rural forest users throughout the region will benefit from, and be able to replicate, efforts within Viet Nam to document and pilot innovative forest-poverty programming. Finally, improved forest harvesting practices will help to minimize the negative impacts of harvesting on biodiversity and water quality, and will result in more diverse and stable residual forest ecosystems that are better able to support the needs of forest-dependent people.

Direct stakeholders of the project include, central government agencies working on policies for community forest management; past and on-going national and international initiatives which engage in the development of sustainable and community-friendly harvesting technologies, as well as improving the policy environment for their implementation; and pilot communities sharing their 'best practices'.

2.3 Project Justification

Now is an opportune time for FAO to continue and expand upon its work in the field of poverty reduction and forestry. A series of international events and initiatives have paved the way for this proposal, many of which FAO has been closely involved with along with the strong network of development partners. Viet Nam is strongly committed to enhancing the contributions of forestry to poverty reduction, but is still searching for viable approaches and mechanisms to achieve this objective. It thus provides an ideal ground upon which to fill existing knowledge gaps and develop poverty-targeted forestry initiatives. The receptivity of the Viet Nam Government, the presence of recent supportive legislation and the large numbers of rural poor living in and around forested areas, make Viet Nam fertile for implementing and validating small-scale forest harvesting models.

2.4 Reason for implementation by FAO

FAO has long and extensive expertise in developing and implementing operational-scale projects dealing with forest management issues in the Asia-Pacific region. Its previous work includes facilitating the formulation of the *Code of Practice for Forest Harvesting in Asia-Pacific* as well as development and implementation of national codes of forest harvesting practices. FAO has been active in promoting reduced impact logging and has supported stakeholder involvement in forest harvest planning and implementation. As well, capacity and experience were gained in the coordination and support of project GCP/RAS/192/JPN for the development of national harvesting codes. With respect to the forestry- poverty reduction connection, FAO was a lead partner in organizing the 2006 *International Conference on Forest Management for Poverty Reduction*, and the 2009 *Regional Forum on Carbon Financing and Community Forestry*, both held in Viet Nam. FAO's capabilities to collaborate with national, regional and international partners will be a strong advantage in the implementation of this project.

3. PROJECT FRAMEWORK

3.1 Development Impact

Support development of an enabling framework for community-based (including households) forest harvesting with a view to reducing poverty.

3.2 Outcome and Outputs

Project Outcome: Successful cases of community-based (including households) forest harvesting are documented, models for ‘best practices’ are identified and simple guidelines for replication of these ‘best practices’ are produced and disseminated.

Output 1: *Systematic review of best practices in Vietnamese timber harvesting is undertaken (covering to the extent possible, the North, Central and Southern regions).*

Activity 1.1: Inventory existing community organizations (including households) engaged in community-based forest harvesting, with particular attention to community-private sector linkages.

Activity 1.2: Analyze and document small-scale forest harvesting activities in Viet Nam, identify best practices and develop strategies for replication.

Activity 1.3: Support tentatively five community-to-community exchanges of technology and harvesting methods (e.g. in-country study cum observation tours).

Activity 1.4: Further refinement and dissemination of TV and Video clips and brochures/posters developed in GCP/RAS/192/JPN to increase awareness of potential in community-based forest harvesting.

Output 2: *Practical guidelines for community-based forest harvesting (including households) developed, and capacity development of selected target groups carried out through initial training sessions.*

Activity 2.1: Based on review (output 1) of best practices in community-based forest harvesting and drawing upon state-of-the-art knowledge and experiences in small-scale forest operations, develop technical guidelines for community-based forest harvesting and planning and simplified guidelines for local-level use (to be produced in Vietnamese).

Activity 2.2: Identification of extension and training needs and opportunities and identification of range of methods (learning by doing, training tailored to non-Vietnamese speakers, etc) to meet these needs.

Activity 2.3: Applying the developed guidelines, conduct initial trainings (tentatively three training sessions) to selected target groups such as local technical forestry staff, extension agents and forest management boards in identified community forest (including households) management operations, as recommended in Activity 2.2.

3.3 Sustainability

After having developed an appropriate analytical framework, methodological guidance, as well as identified field activities and needs for capacity-building and knowledge transfer, a sufficiently large number of stakeholders will have acquired the skills to effectively mainstream poverty reduction and rural development concerns into the analysis of potential and existing forestry sector interventions.

The Government of Viet Nam has demonstrated strong commitment to sustainable community-based forest use. This project concept has been initiated by the Government with the rationale that while there is considerable interest in participatory forest management regimes at all levels, there is a lack of clarity on existing appropriate strategies and mechanisms to implement this. Circular 35, has been developed and is being implemented by the Government. This project seeks to support this nationally-initiated process including for promotion of community-based forest harvesting.

REDD+, will potentially offer substantial opportunities for forest communities to benefit from sustainable forest management, including possible fund flows from both the public and private sectors. In order to best prepare for REDD+, substantial government funds and donor assistance is being earmarked as REDD+ preparation funds, including through the UN-REDD Programme for Viet Nam. Through the coordination mechanism of the National REDD Network in Viet Nam, the outputs of this project can be strategically employed as a tool for further identification of sustainable local intervention strategies, and the enhanced capacity of the communities will be a strong foundation for implementation of such intervention strategies.

3.4 Risks and Assumptions

As common to similar projects in Viet Nam, lack of continuity in the staffing ascribed to the project by the participating institutions can be an element of disruption in the fulfillment of project objectives. In order to minimize this negative impact, particular attention will be given to the multi-disciplinarity of the staff working on the project and the benefits of having a range of stakeholders represented in the team in order to minimize the effects of staff turnover or changes over the life of the project.

RISKS

Risk	Impact	Probability	Mitigation
Inability to locate/ identify sufficient 'best practices' and other models.	Would constrain documentation and inter-community sharing activities.	Low	There is already awareness of a number of likely cases.
Limitations around language capacity of consultants/ experts to operate at community as well as international levels.	Would limit their ability to undertake intended work.	Low-medium	Individuals will be contracted based in part on their bilingual capacities. In ethnic minority areas, translators will be used where necessary.
Lack of community level support for research/assessment and inter-community knowledge exchanges.	May prevent/ limit success of assessments and inter-community exchanges.	Medium	Villages will be selected on their willingness to share information and engage with other villages.
Unavailability of Consultants when Required.	Delays in undertaking activities.	Low	Individuals will be contracted based upon their availability.

Lack of support from national-level authorities in formalizing a technical guideline for community-based forest harvesting.	May constrain impacts of activities.	Medium	There has been a request for assistance in the revision process from national level authorities.
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4. IMPLEMENTATION AND MANAGEMENT ARRANGEMENTS

4.1 Institutional Framework and Coordination

Technical oversight of the project will be the responsibility of an international expert (TCDC/retiree) with support from three national consultants. The FAO regional office will provide supervisory and technical support. Government participation and support will be important to the project and it is expected that both the international expert and the national consultants will work closely with relevant ministries, including the Vietnamese Academy of Forest Sciences - VAFS (Silviculture Research Division) and MARD and its departments such as: the Forestry Administration (VNFOREST), International Cooperation, Forest Protection, Planning, Agriculture and Forestry Extension, Science-Technology, Processing, etc.

The Project will endeavor to cultivate strong linkages with MARD in both seeking, as well as providing, policy and technical inputs from the Ministry. Networks and partnerships with universities, research institutes, other UN partners (such as UNEP or UNCCD) and NGOs will support assessment and analysis at the regional and national levels, and complement Government counterparts. Engaging with local-level institutions is also a key element of the project.

4.2. Project management

4.2.1. Project management Agency: MARD

4.2.2. Project implementation Agencies:

- a. Silviculture Division of VAFS (being upgraded to Silviculture Research Institute - SRI under Vietnamese Academy of Forest Sciences – VAFS from June 2012)
 - Establish project management board including 3 members (Director – One Silviculture Division officer; Coordinator: One silviculture researcher; Project member: One officer of Department of Forest Utilization)
 - Day to day management and organization and implementation of all project activities at the local level;
 - Provide office space and staff for the project;
 - Nominate participate in selection of national experts
 - Assist international and national experts;
 - Monitoring and reporting.
- b. Department of Forest Utilization, VNFOREST
 - Coordination among FAO, VNFOREST, MARD, provinces and VAFS (SRI);
 - Liaise with MARD officials for submission of technical guidelines;
 - Coordination of administrative procedures (eg official letters and permits as necessary);
 - Overall management of project (including engagement in nomination/selection of consultants);
 - Reporting to MARD and other ministries as necessary.

4.3 Strategy/ Methodology

The strategy of this project is based on two central components: (i) review and documentation of best practices in Vietnamese community-based timber harvesting, and (ii) development of practical guidelines for community-based forest harvesting. The project activities will be undertaken through research and assessments which will build on the work carried out by development partners in Vietnam's forestry sector and subsequent dissemination of lessons learned through community study tours and exchanges facilitated by national partner organizations and research institutes. The developed guidelines will be tested in several of the community-based forest management operations, together with delivery of initial trainings to local technical forestry staff and extension agents. Finally, the recommendations from the field-level observations will be elevated to policy dialogue including at the central government level to propose technical guidelines and other supportive policies.

4.4 Government Inputs

Inputs to be provided by the Government of Viet Nam will be mainly in-kind, to be further itemized during formulation of a project work plan. These in-kind inputs will be in the form of staff time, office space and local services.

4.5 FAO's Contribution

Personnel:

- one international consultant for technical supervision for 3.5 months (TCDC/retiree).
- three national consultants to conduct review of timber harvesting best practices and initiate community exchanges.
- one national consultant to develop guidelines on timber harvesting and undertake training activities (also partaking in review of forestry practices and community exchanges, as mentioned above).
- one national consultant to lead policy dialogue with government (also partaking in review of forestry practices and community exchanges as mentioned above).
- supervisory backstopping by forestry officer, FAO Regional Office for Asia and the Pacific, for three missions of 5 days each.

Travel:

- expenses for travel and DSA of international consultant (TCDC/retiree);
- expenses for travel and DSA of national experts;
- expenses for travel and DSA for technical backstopping.

Training:

- initial trainings (tentatively three training sessions) in identified community forest management operations;
- community-to-community exchanges of technology and harvesting methods (e.g. in-country study cum observation tours - tentatively five)

Costs per event	Initial training	Community exchange
trainers honorarium	2,000	1,500
venue and paraphernalia	700	700
costs of host community		500
organization/preparation	500	300
travel	2,500	2,500
<u>misc (insurance etc)</u>	<u>500</u>	<u>500</u>
<u>Sub-total/event</u>	<u>6,200</u>	<u>6,000</u>
Total (3 trainings/5 exchanges)	18,600	30,000

General operating expenses:

Cost of communication and other support activities during project implementation.

Direct operating costs:

Expenses related to the project at FAO.

An international expert and three national consultants will be contracted for the project to contribute knowledge, experience and technical expertise. Travel would be involved in the identification, assessment and documentation of best practices and in the facilitation of community exchanges and trainings. Technical guidance and backstopping of national consultants in conducting the review and undertaking guideline development will be undertaken from the FAO regional office.

5. OVERSIGHT, MONITORING, MANAGEMENT INFORMATION AND REPORTING

5.1 Monitoring and Management of Information

Monitoring will be undertaken by FAO regional office staff and will be conducted using participatory monitoring approaches involving beneficiaries. The capturing of lessons learned will be a key output of the project, with a final report providing synthesis of findings and recommendations for follow up to the project.

The findings will be utilized and disseminated in several ways. First, the findings will be incorporated through inputs to propose a technical guideline on community-based forest harvesting and other supportive policies. Second, through documentation of best community-based forest harvesting practices, as well as the guidelines to be developed, and finally through community exchanges and trainings on the guidelines.

5.2 Communication and Visibility

Communication will take place through various mechanisms. There is expected to be ongoing dialogue with MARD on the revision of Decision 40, with lessons learned incorporated into this policy directive. As well, the documentation of best forest harvesting practices and the simple guidelines will all serve to communicate findings of the project and increase its visibility. Video documentation will be a key element of communication strategies and the training and capacity building aspects of Output 2 will be conducted in such a way (learning by doing, etc) as to be broadly accessible, even to minority non-Vietnamese speakers. Finally, the project Terminal Statement prepared by FAO will be circulated to the Viet Nam Government as well as to relevant departments within FAO.

5.3 Reporting Schedule

The international and national consultants will be responsible for providing reports to the responsible FAO technical officer, who will then prepare the Terminal Statement using standard FAO format that will include:

- elaboration of the actual implementation of project activities compared to those scheduled in the work plan;
- degree of achievement of immediate objectives and planned outputs;
- identification of any problems and constraints (technical, human, financial, other) encountered during project implementation; and
- recommendations for project follow up and lessons learned.

ANNEXES

Annex 1: Budget

Annex 2: Work plan

Annex 3: ToR for International Expert (TCDC/Retiree)

Annex 4: ToR for National Consultant (lead – policy)

Annex 5: ToR for National Consultant (guidelines and extension materials development)

Annex 6: ToR for National Consultant (inventory and documentation)

Annex 7: ToRs for Technical Backstopping FAO Supervisory Technical Services Senior Forestry Officer of the Regional Office for Asia and the Pacific

Annex 8: Description of contract for Activities 1.4 and 2.1

Annex 9: Description of contract for assistance in delivery of community-to-community exchanges and trainings under Activity 2.3

Budget

Accts	Input Description	Sub/Child Account	Main/Parent Account
5013	Consultants		77,563
5542	Consultants – International		
5543	Consultants – National	52,888	
5544	Consultants - TCDC/TCCT	24,675	
5545	Consultants - Retired Experts		
5546	Consultants - South South Cooperation		
5547	Consultants - UN Volunteers		
5014	Contracts		15,000
5650	Contracts Budget	15,000	
5020	Overtime		0
5652	Casual Labour – Temporary Assistance	0	
5021	Travel		40,454
5661	Duty travel others (only FAO staff)	1,600	
5684	Consultants – International		
5685	Consultants – National	12,000	
5686	Consultants - TCDC/TCCT	15,656	
5687	Consultants - Retired Experts		
5688	Consultants - South South Cooperation		
5689	Consultants - UN Volunteers		
5694	Travel – Training		
5692	Travel - Technical Support Services	7,998	
5698	Travel - Non staff (e.g. counterparts)	3,200	
5023	Training		48,600
5920	Training Budget	48,600	
5024	Expendable Equipment		11,500
6000	Expendable Equipment Budget	11,500	
5025	Non Expendable Equipment		10,000
6100	Non Expendable Equipment Budget	10,000	
5027	Technical Support Services		24,582
6111	Report costs	2,350	
6120	Technical Support Services (Honorarium)	22,232	
5028	General Operating Expenses		11,553
6300	General Operating Expenses Budget	11,553	
5029	Support Cost		17,206
6130	Support Cost Budget	17,206	
	Grand Total		256,000

Outputs / Activities	Year 1												Year 2												
	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12	
Output 1: Systematic review of best practices in Vietnamese timber harvesting and wood processing is undertaken																									
<i>Activity 1.1:</i> Inventory existing community organizations engaged in community-based forest harvesting and processing, with particular attention to community-private sector linkages.	X		X	X	X																				
<i>Activity 1.2:</i> Analyze and document small-scale forest harvesting/processing activities in Viet Nam, identify best practices and develop strategies for replication.			X	X	X																				
<i>Activity 1.3:</i> Support community-to-community exchange of technology and harvesting methods (e.g. in-country study cum observation tours).							X	X	X																
<i>Activity 1.4:</i> Further refinement and dissemination of TV and Video clips developed in GCP/RAS/192/JPN to increase awareness of potential in community-based forest harvesting and processing.											X	X													
Output 2: Practical guidelines for community-based forest harvesting and processing developed.																									
<i>Activity 2.1:</i> Based on review (output 1) of best practices in community-based forest harvesting and drawing upon state-of-the-art knowledge and experiences in small-scale forest operations, develop technical guidelines for community-based forest harvesting and planning and simple guidelines for local-forest harvesting and extension and training needs and opportunities and identification of range of methods (learning by doing, training tailored to non-Vietnamese speakers, etc) to meet these needs.														X	X	X	X								
<i>Activity 2.2:</i> Identification of extension and training needs and opportunities and identification of range of methods (learning by doing, training tailored to non-Vietnamese speakers, etc) to meet these needs.																	X	X	X						
<i>Activity 2.3:</i> Undertake training and capacity building as recommended in Activity 2.2.																			X	X	X				X

ANNEX 3

DRAFT Terms of Reference International TCDC/Retiree Expert to support TCP Project:

Community-based forest harvesting for poverty reduction in Viet Nam

Background

In Viet Nam, like other regional countries, forestry operations have tended to be dominated by large-scale commercial interests, and the benefits from timber extraction have, as in other places, tended to be captured by the rich. New trends with respect to markets, technologies and institutions, provide increasing opportunities for employment and income generation in rural areas. However, the potential of forest harvesting for deliberate poverty reduction remain a relatively recent source of interest and as of yet is little developed. The policy and regulatory frameworks at present do not tend to support small-scale producers and labor-intensive harvesting practices, but instead often discriminate against them.

FAO is assisting Viet Nam through documenting best practices of community-based forest harvesting to facilitate their replication, and to supporting revisions of, and further raising awareness around, policies on community-based forest harvesting.

Tasks

Under the general supervision and guidance of the FAO Representative for Viet Nam, and under technical supervision of the Senior Forestry Officer, Regional Office for Asia and the Pacific, the Expert will coordinate with national consultants in undertaking the tasks. Specifically, the Expert will carry out the following tasks:

1. Provide guidance to the National Consultants and oversee the process of identifying methods of inventorying and documenting to develop strategies for replication of community-based forest harvesting (Activities 1.1, 1.2);
2. Provide advisory to the National Consultants in carrying out the community-to-community exchanges (Activity 1.3);
3. With the National Consultants, identify methods for improving existing extension materials and developing guidelines (Activities 1.4, 2.2);
4. With the National Consultants, identify opportunities for extension and training needs among the inventoried communities (Activity 2.2);
5. Provide guidance to the National Consultants and contractor on training program development and implementation of the initial training sessions (Activity 2.3);
6. Take lead in identifying areas for technical guidelines and other supportive policies, and provide guidance to National Consultants to engage in dialogue with government towards these ends;
7. Produce an end-of-assignment report, and draft the Terminal Statement at the end of the project.

Duration: 3.5 months including approximately 3 missions to Viet Nam

DRAFT Terms of Reference**National Consultant (lead-policy) to TCP Project:**

Community-based forest harvesting for poverty reduction in Viet Nam

Background

In Viet Nam, like other regional countries, forestry operations have tended to be dominated by large-scale commercial interests, and the benefits from timber extraction have, as in other places, tended to be captured by the rich. New trends with respect to markets, technologies and institutions, provide increasing opportunities for employment and income generation in rural areas. However, the potential of forest harvesting for deliberate poverty reduction remain a relatively recent source of interest and as of yet is little developed. The policy and regulatory frameworks at present do not tend to support small-scale producers and labor-intensive harvesting practices, but instead often discriminate against them.

FAO is assisting Viet Nam through documenting best practices of community-based forest harvesting to facilitate their replication, and to supporting revisions of, and further raising awareness around, policies on community-based forest harvesting.

Tasks

Under the general supervision and guidance of the FAO Representative for Viet Nam, and under technical supervision of the Senior Forestry Officer, Regional Office for Asia and the Pacific, the National Consultant (Lead) will coordinate with the International Expert and other National Consultants in undertaking the tasks. Specifically, the National Consultant will carry out the following tasks:

1. Prepare detailed work plans and assist the National Project Director in managing the implementation of the project;
2. Collaborate with the International Expert and other National Consultant to identify scope and best means for developing technical guidelines and other supportive policies, and take lead in engaging in dialogue with government towards these ends;
3. With the other National Consultants, and International Expert engage in inventorying and documenting community-based forest harvesting, and develop strategies for replication (Activities 1.1, 1.2);
4. Assist in organizing and implementing the community-to-community exchanges (Activity 1.3);
5. Take lead in identifying needs and opportunities for extension and training among the inventoried community-based forest harvesting practices;
6. Produce an end-of-assignment report.

Duration: 4.5 months

DRAFT Terms of Reference
National Consultant (guidelines development) to TCP Project:
Community-based forest harvesting for poverty reduction in Viet Nam

Background

In Viet Nam, like other regional countries, forestry operations have tended to be dominated by large-scale commercial interests, and the benefits from timber extraction have, as in other places, tended to be captured by the rich. New trends with respect to markets, technologies and institutions, provide increasing opportunities for employment and income generation in rural areas. However, the potential of forest harvesting for deliberate poverty reduction remain a relatively recent source of interest and as of yet is little developed. The policy and regulatory frameworks at present do not tend to support small-scale producers and labor-intensive harvesting practices, but instead often discriminate against them.

FAO is assisting Viet Nam through documenting best practices of community-based forest harvesting to facilitate their replication, and to supporting revisions of, and further raising awareness around, policies on community-based forest harvesting.

Tasks

Under the general supervision and guidance of the FAO Representative for Viet Nam, and under technical supervision of the Senior Forestry Officer, Regional Office for Asia and the Pacific, the National Consultant (guidelines development) will coordinate with the International Expert and other National Consultants in undertaking the tasks. Specifically, the National Consultant will carry out the following tasks:

1. Take lead in the improvement/revision of existing extension materials and development of simple-/ easy-to-use guidelines for small-scale community-based forest harvesting (Activities 1.4, 2.1);
2. Take lead in identifying needs and opportunities for extension and training among inventoried communities (Activity 2.2);
3. Assist in the identification of an institution with relevant skills for delivery of initial training, and collaborate with the institution and other National Consultant to develop a training program and deliver the initial training sessions (Activity 2.3);
4. With the other National Consultants, and International Expert engage in inventorying and documenting community-based forest harvesting, and develop strategies for replication (Activities 1.1, 1.2);
5. Assist in organizing and implementing the community-to-community exchanges (Activity 1.3);
6. Collaborate with the International Expert and other National Consultant to identify scope and best means for developing technical guidelines and other supportive policies, and take lead in engaging in dialogue with government towards these ends;
7. Produce an end-of-assignment report.

Duration: 8.75 months

DRAFT Terms of Reference**National Consultant (inventory and documenting) to TCP Project:**

Community-based forest harvesting for poverty reduction in Viet Nam

Background

In Viet Nam, like other regional countries, forestry operations have tended to be dominated by large-scale commercial interests, and the benefits from timber extraction have, as in other places, tended to be captured by the rich. New trends with respect to markets, technologies and institutions, provide increasing opportunities for employment and income generation in rural areas. However, the potential of forest harvesting for deliberate poverty reduction remain a relatively recent source of interest and as of yet is little developed. The policy and regulatory frameworks at present do not tend to support small-scale producers and labor-intensive harvesting practices, but instead often discriminate against them.

FAO is assisting Viet Nam through documenting best practices of community-based forest harvesting to facilitate their replication, and to supporting revisions of, and further raising awareness around, policies on community-based forest harvesting.

Tasks

Under the general supervision and guidance of the FAO Representative for Viet Nam, and under technical supervision of the Senior Forestry Officer, Regional Office for Asia and the Pacific, the National Consultant (inventory and documenting) will coordinate with the International Expert and other National Consultants in undertaking the tasks. Specifically, the National Consultant will carry out the following tasks:

1. Take lead in inventorying and documenting community-based forest harvesting, and develop strategies for replication (Activities 1.1, 1.2);
2. Take lead in organizing and implementing the community-to-community exchanges (Activity 1.3);
3. Take lead in identifying needs and opportunities for extension and training among the inventoried community-based forest harvesting practices (Activity 2.2);
4. Take lead in identification of an institution with relevant skills for delivery of initial training, and collaborate with the institution and other National Consultant to develop a training program and deliver the initial training sessions (Activity 2.3);
5. Assist in improvement/revision of existing extension materials and development of simple-/ easy-to-use guidelines for small-scale community-based forest harvesting (Activities 1.4, 2.1);
6. Produce an end-of-assignment report.

Duration: 6.75 months

Terms of Reference

Technical Backstopping FAO Supervisory Technical Services Senior Forestry Officer of the Regional Office for Asia and the Pacific

In close collaboration with the FAO Representative for Viet Nam, the International Expert and the National Consultants, the Supervisory Services Expert will provide general technical backstopping, in particular he/she will:

5 missions to Viet Nam (6-7 days each = 32 days)

- Monitoring and advisory on methods of inventorying, analysis and documenting of community-based best practices
- Monitoring and advisory on methods and substance of community-to-community exchanges
- Participate in and advise on policy dialogues to propose technical guidelines and other supportive policies

Desk work (8 days)

- Identify and recruit International Expert
- Coordinate and support the inputs and activities of the International Expert (TCDC) and National Consultants
- Review reports of all experts/consultants/contracts
- Supply information and advisory on guidelines and extension materials development
- Prepare back-to-office reports and Terminal Statement

Duration: 40 days

Description of contract
Contract for Activities 1.4 and 2.1

Contracts in the form of Letters of Agreement will be signed with a company/organization to be identified in Viet Nam who has experience in developing communication materials and manuals. The contract will be for approximately USD 5 000 and will involve the following:

- Formatting, layout design of extension materials and guidelines revised/developed by consultants under Activity 1.4 and 2.1
- Printing or other means of generating final product (depending on type of media)

**Description of contract
for assistance in delivery of community-to-community exchanges and trainings under
Activity 2.3**

A contract in the form of a Letter of Agreement will be signed with a partner organization to be identified in Viet Nam. The contract will be for approximately USD 10,000 and will involve the following:

- assistance in identifying appropriate participating communities;
- assistance in developing a programme and agenda;
- assistance in identifying relevant facilitators;
- provision of logistical support for participants;
- support in administering reimbursements of participants' travel expenses;
- provision of secretariat support, including registration, photocopying, typing, printing, etc.;
- negotiation of appropriate hotel rooms for participants;
- rental of appropriate meeting venue and necessary supporting equipment;
- provision of full-meeting packages (inclusive of coffee breaks, lunches, etc.).